
State of California

Office of the State Chief Information Officer

Information Technology Capital Plan

Preparation Instructions

Revised August 2010

(SIMM Section 57)

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I. Overview

These instructions have been prepared to assist State of California Agencies¹ in completing their Five Year Information Technology Capital Plan (Individual Plans). The Office of the State Chief Information Officer (OCIO), and the Department of Finance (Finance) will utilize this information to:

- Ensure that IT investments drive program efficiency and effectiveness and improve the quality of government services for Californians.
- Facilitate improvements in internal business processes and financial management through IT investments.
- Link IT investments to state and agency priorities and business direction.
- Promote the alignment of IT investments with the Agency's enterprise architecture (Technology, Standards, and Infrastructure), and the state's Information Technology Strategic Plan.
- Facilitate consideration and conceptual approval to pursue selected IT investments.

Ultimately, the Individual Plans will serve as the basis for the Statewide Information Technology Capital Plan (Statewide Plan). The Statewide Plan will represent the Administration's plan for strategic IT investments and will be supported by the Governor's Budget, the state's Information Technology Strategic Plan, Budget Change Proposals, and Feasibility Study Reports.

The requirements to prepare Agency and department IT Capital Plans are described in the State Administrative Manual (SAM) Section 4904. Preparation of this year's Individual Plans builds on processes established in previous years, utilizing Excel worksheets to facilitate the collection and analysis of the information.

Agencies and departments should include information about alignment with the California IT Strategic Plan, and the Business and Technical Reference Model classifications when submitting their Segment One, Proposed IT Project Concepts to the OCIO for approval. Similarly, alignment with the Strategic Plan and Business and Technical Reference Model classifications should also be included when submitting Segment Two, OCIO Approved and Delegated IT Projects to the OCIO². This includes IT Projects approved pursuant to the State Administrative Manual (SAM) Section 4819.37, as well as IT projects delegated to Agencies and departments pursuant to SAM Section 4819.39. Development of the October 2010 Plans utilizes Excel worksheets to facilitate the collection and analysis of the information.

II. Content of Individual Plans

Individual Plans are divided into two segments plus supplemental components to facilitate preparation and submittal. Workbooks to complete the two Segments as well as the Supplemental Reference Material and Transmittal can be downloaded from the Statewide Information Management Manual Section 57 of the OCIO's Website at:

http://www.cio.ca.gov/Government/IT_Policy/SIMM.html.

¹ When capitalized, the term "Agency" refers to one of the state's super agencies such as the State and Consumer Services Agency or the Health and Human Services Agency. When used in lower case, the term "agency" refers to any office, department, board, bureau, commission or other organizational entity within state government. Within this SIMM Section, "agency" and "department" are used interchangeably.

² Applies to IT project approvals provided by predecessor entities such as the Department of Finance.

- A. Segment One, Proposed IT Project Concepts** – Provides updated information concerning Project Concept Proposals that have been approved by the OCIO (i.e., Existing Concepts), along with information regarding new Project Concept Proposals (i.e., New Concepts).

Segment One reporting consists of two elements: (1) An Excel workbook summarizing Existing and New Concepts³; and (2) An Excel workbook using the CA-PMM IT Project Concept Toolkit for each Existing and New Concept included in the summary workbook.

- B. Segment Two, Approved IT Projects** – Provides information concerning IT Projects delegated to Agencies and departments for approval pursuant to SAM Sections 4819.37 and 4819.39.

Segment Two information consists of an Excel workbook summarizing IT projects delegated to agencies. Include all delegated and non-reportable projects that are active between January 1, 2010 through June 30, 2016, and beyond as applicable.

C. Supplemental Reference Material and Transmittals:

- i) Supplemental Reference Material consisting of:
 - Strategic Plan Concepts from the California IT Strategic Plan.
 - The Business Reference Model (BRM) – The BRM is a function-driven framework for describing the business operations of the state government independent of the agencies that performs them. The BRM provides an organized, hierarchical construct for describing the day-to-day business operations.
 - The Technical Reference Model (TRM) – The TRM is a framework used to identify and organize the standards, specifications, and technologies that support and enable the delivery of the state's business services and capabilities.
 - The Service Reference Model (SRM) – The SRM is a business-driven functional framework that classifies Service Components with respect to how they support business and/or performance objectives. The SRM is structured across horizontal service areas that, independent of the business functions, can provide a leverageable foundation for reuse of applications, application capabilities, components, and business services.
- ii) The Agency Executive Approval Transmittal form.
- iii) The Department Executive Approval Transmittal form.
- iv) The Secure File Submittal Process

III. Preparation Process

The process for completing and submitting Individual Plans is different depending on whether the Plans are prepared by an Agency and their constituent-departments or by entities that do not report to an Agency Secretary such as Constitutional Offices, the California State Library, or the Student Aid Commission.

Regardless of the entity preparing the plan, during the preparation process, look for common or similar activities proposed or underway, identifying opportunities to leverage proposed activities across your organization. In addition, review your organization's strategic

³ Applies to IT project approvals provided by predecessor entities such as the Department of Finance.

plan and enterprise architecture prior to developing your Individual Plan and identify those IT project proposals that best support the organization's strategic plan and enterprise architecture.

A. Agencies and Constituent-Departments

- i) Agencies will provide direction to their constituent-departments regarding completion instructions and timelines for the submission of the department information to their Agency.
- ii) Agencies will coordinate discussion among departments to ensure there is consistency in the activities surrounding the preparation of the Individual Plans. Agencies will also look for opportunities to eliminate overlap or duplication of projects or other automation efforts within their Agency, across Agencies, and with other entities to reflect a consolidated approach and an enterprise-wide view.

Agencies should allow sufficient time to complete this process in order to meet the required submission date to the OCIO.

- iii) Constituent-departments will prepare the Segments One and Two information and submit them as a package to their Agency. A Project Concept Toolkit for each concept proposal submitted to the Agency should also be included.
- iv) Agencies will review their constituent-departments' Concepts, consolidate Agency-approved Concepts onto a single Segment One worksheet, and determine the priority of each Agency-approved Concept.

Agencies will also review and consolidate their constituent-department's IT Project information onto a Single Segment Two worksheet.

- v) Agencies will submit their Individual Plan package to the OCIO in accordance with the submittal instructions in Section V below.

B. Constitutional Offices and Non-Affiliated Departments

- i) Departments will discuss the Individual Plan Workbooks and completion instructions with appropriate management and staff. Departments will coordinate with management and staff to ensure there is consistency in the activities surrounding the preparation of the Individual Plans. Departments will also look for opportunities to eliminate any overlap or duplication of projects or other automation efforts to reflect a consolidated approach and an enterprise-wide view.
- ii) Departments should look for common or similar activities proposed or underway, identifying opportunities to leverage proposed activities across the department, and with Agencies and with other entities.
- iii) Departments will review their Concepts, and identify which ones to include in the Segment One, "Summary of Approved IT Project Concept Proposals" workbook. Departments will also determine the priority of each proposed Concept, and complete a Project Concept Toolkit for each Concept included in their Individual Plan.
- iv) Departments will also complete the information for Segment Two.
- v) Departments will submit the October 2010 Plan package to the OCIO in accordance with the submittal instructions in Section V below.

IV. Instructions for Completing the Individual ITCP Workbooks and Transmittals

In addition to the process previously described, the following instructions are to be used in completing the workbooks and forms that comprise the Individual IT Capital Plans submitted to the OCIO.

A. Segment One, Proposed IT Project Concepts

Individual workbooks have been prepared for each Agency, Constitutional Office and Non-Affiliated Department with Concepts approved by the OCIO. All workbooks have one tab only, i.e., Agency workbooks do not include individual tabs for each constituent-department. Each workbook has been pre-populated with prior approved concepts. There will be one continuous listing arranged by organization code.

A blank template is available within the “Summary of IT Project Concepts” portion of SIMM 57A for entities that do not have prior approved Concepts.

i) Summary of IT Project Concepts

Constituent-departments will list and prioritize all proposed IT projects on the Agency Worksheet. Agencies will review their constituent-departments’ Concepts, consolidate Agency-approved Concepts onto the single Segment One worksheet, and determine the priority of each Agency-approved Concept. Each Concept must have its own priority ranking number; different proposals may not share the same priority number.

Information concerning Concepts that have been approved by the OCIO has been listed in the top section of the Workbooks for each entity. Agencies and departments must complete and/or update the information in the columns F through AD

For New Concepts, enter the information in the rows below the pre-filled Concept information beginning with Column A. Please note that below the row labeled “New IT Project Conceptual Proposals (New Concepts),” 200 rows have been pre-formatted within each worksheet.

Column widths and row heights may be increased to facilitate viewing while editing. In addition, some of the cells include drop-down boxes (indicated by underlined text in the instruction below).

- **Column A, Department Organizational Code** – Enter the department Organization code in this column.
- **Column B, Department Acronym** – Enter the department acronym in this column.
- **Column C, IT Project Conceptual Proposal Name** – Enter the name of the proposed Concept in this column.
- **Column D, IT Project Conceptual Proposal Description** – Enter the description of the conceptual proposal using the following format:
The (Agency/Department) proposes to (expected project effort) to (realize what business effect?).
- **Column E, Approved by the OCIO?** – No entry is required. The column has been grayed-out and is reserved for OCIO use only.

- **Column F, Update Status:**

- **For Existing Concepts that were approved by the OCIO,** select from the following choices from the drop-down menu arrow within the cell:
 - **No Change** – Select this item if there are no changes to the concepts.
 - **FSR Submitted** – Select this item if a Feasibility Study Report for the IT project proposal has been submitted to the OCIO since the publication of the January 2010 Statewide ITCP.
 - **Concept Updated** – Select this item if an updated Project Concept Toolkit has been included with the Individual Plan.
 - **Withdrawn** – Select this item if the IT project proposal has been withdrawn since the publication of the January 2010 Statewide ITCP.
- **For New Concepts listed in the Individual Plan Summary,** a completed CA-PMM IT Project Concept Toolkit is required for each new Concept listed. Accordingly, the remaining portion of Column F has been grayed-to prevent entry of data. Information concerning the completion of the CA-PMM IT Project Concept toolkit is discussed within this section as sub-section ii immediately following.

- **Column G, Priority Ranking** – Enter the priority ranking for each Concept.

The priority ranking will include both Existing and New Concepts. The top priority proposed IT project will be identified as priority ranking 1, with the next highest item ranked as priority 2, and so on.

Agencies will review and consolidate their constituent-department's Concepts listed on the Agency Summary worksheet, and determine the overall priority of each Concept. As previously stated, each IT project proposal must have its own priority ranking number; different proposals may not share the same priority number.

- **Column H, Estimated Start Date** – Enter the estimated start date in the following format: mm/dd/yyyy.

- For start days (i.e. "dd") that are unknown, enter 01.

- **Column I, Estimated End Date** – Enter the estimated end date in the following format: mm/dd/yyyy.

- For end days (i.e. "dd") that are unknown, enter the last day of the month (28, 29, 30 or 31) as appropriate.

- **Column J, Estimated Total Cost** – Enter the estimated total cost in whole dollars (rounded to the nearest dollar).

The amount entered in Column J should correspond to the total estimated cost from the "Estimating Summary" portion of the Project Concept Toolkit.

- **Column K through Column N, Funding Source** – Enter the estimated percentage in each of the four funding sources; Column K / General Fund, Column L / Federal Fund, Column M / Special Fund, and Column N / Reimbursements.

Caution: Excel may format and display percentages differently depending on how data is entered. For example:
If “70” is entered, 70% will be displayed
If “.70” is entered, 70% will be displayed
If “0.70” is entered, 1% will be displayed
- **Column O, New Funding (Budget Action) Needed?** – Select from the following choices from the drop-down menu arrow within the cell
 - **Yes** – If a budget action is planned select Yes
 - **No** – If no new funding needed select No
- **Column P, Reportable to OCIO** – Select from the following choices from the drop-down menu arrow within the cell
 - **Yes** – If you expect the Concept, if approved, to result in an IT Project that reported to the OCIO pursuant to SAM Section 4819.37.
 - **No** – If you expect the Concept, if approved, to result in an IT Project delegated pursuant to SAM Section 4819.39.
- **Column Q, Consolidation-Related** – Select from the following choices from the drop-down menu arrow within the cell
 - **Yes** – If the request is related to an Infrastructure Consolidation Program (ICP) effort.
 - **No** – If the request is not related to an ICP effort.
- **Column R, through Column W, SPC 1 through SPC 6** – SPC refers to the six Strategic Plan Concepts included in the California IT Strategic Plan.
Enter an “X” for each Strategic Plan Concept that best corresponds to the IT project proposal.
- **Column X, BRM** – BRM refers to the Enterprise Architecture Business Reference Model associated with the Concept.

Identify the BRM Element Name and Description that best describes the business operation that the Concept will support. BRM information is listed in the Supplemental Reference Material previously discussed. Select the BRM Element ID Number from the drop-down menu within the cell.
- **Column Y, TRM Primary** – TRM refers to the Enterprise Architecture Technical Reference Model associated with the Concept.

Identify the TRM Element Name and Description that best describes the technology that will be employed in the Concept. TRM information is listed in the Supplemental Reference Material previously discussed. Select the TRM Element ID Number from the drop-down menu within the cell.

- **Columns Z and AA, TRM 1 and 2 Additional** – If there are one or more additional TRM Elements that the Concept will utilize, select the TRM Element ID Number from the drop-down menu within the cell(s).
- **Column AB SRM Primary** – SRM refers to the Enterprise Architecture Service Reference Model associated with the Concept.

Identify the SRM Element Name and Description that best describes the technology that will be employed in the Concept. SRM information is listed in the Supplemental Reference Material previously discussed. Select the SRM Element ID Number from the drop-down menu within the cell.
- **Columns AC and AD, SRM 1 and 2 Additional** – If there are one or more additional SRM Elements that the Concept will utilize, select the SRM Element ID Number from the drop-down menu within the cell(s).

ii) CA-PMM IT Project Concept Toolkits

Departments must provide a CA-PMM Concept Toolkit for each Concept included in their Individual Plan. The Project Concept Toolkit will be used to document the need, benefits, alternatives, approach and estimated size of proposed IT projects. Departments must complete the Concept Statement and Size Estimating sections of the Project Concept Toolkit to provide this required information.

Note: Agencies (i.e., "state super agencies") that are considering IT project proposals within their Agency (i.e., not through one of their constituent-departments), or that cross multiple Agencies also must complete the Project Concept Toolkit for each Concept.

The Project Concept Toolkit is located within the Statewide Information Management Manual (SIMM) as Section 17B. Completion instructions are included in the "Concept Stage" portion of the CA-PMM Reference Manual, SIMM Section 17A.

To facilitate matching the completed Project Concept Toolkits with the Concept information included in the Summary workbook, include the Concept name in the file name of each completed Project Concept Toolkit.

B. Segment Two, Approved IT Projects

Segment Two workbooks have been prepared with pre-populated information for each Agency, Constitutional Office, and Non-Affiliated Department with IT Projects approved by the OCIO pursuant to SAM Sections 4819.37 or 4819.38. The workbooks are available within Section 57B of the SIMM, and have one tab only, i.e., Agency workbooks do not include individual tabs for each constituent-department. There will be one continuous listing arranged by organization code. A blank template is also available within SIMM Section 57B for entities that are not listed.

Agencies and departments must complete "Delegated Projects" information beginning with Column A for IT Projects delegated pursuant to SAM Section 4819.39. A blank template is available within SIMM Section 57B for entities that are not already listed within SIMM Section 57B. Please note that below the row labeled "Delegated Projects," 200 rows have been pre-formatted within each worksheet.

Column widths and row heights may be increased to facilitate viewing while editing.. In addition, some of the cells include drop-down boxes (indicated by underlined text in the instruction below).

- **Column A, Department Organizational Code** – Enter the department Organization code in this column.
- **Column B, Department Acronym** – Enter the department acronym in this column.
- **Column C, OCIO Project Number** – Enter the project number assigned by the OCIO in this column. For Delegated Projects, enter the “internal” project number if applicable.
- **Column D, IT Project Name** – Enter the name of the IT Project in this column.
- **Column E, IT Project Description** – Enter the description of the IT Project using the following format:

The (Agency/Department) proposes to (expected project effort) to (realize what business effect?).
- **Column F, Estimated Start Date** – Enter the estimated start date in the following format: mm/dd/yyyy.
 - For start days (i.e. “dd”) that are unknown, enter 01.
- **Column G, Estimated End Date** – Enter the estimated end date in the following format: mm/dd/yyyy.
 - For end days (i.e. “dd”) that are unknown, enter the last day of the month (28, 29, 30 or 31) as appropriate.
- **Column H, Estimated Total Cost** – Enter the estimated total cost in whole dollars (rounded to the nearest dollar).
- **Column I, Consolidation-Related** – Select from the following choices from the drop-down menu arrow within the cell
 - **Yes** – If the request is related to an Infrastructure Consolidation Program (ICP) effort.
 - **No** – If the request is not related to an ICP effort.
- **Column J, through Column O, SPC 1 through SPC 6** – SPC refers to the six Strategic Plan Concepts included in the California IT Strategic Plan.
 Enter an “X” for each Strategic Plan Concept that best corresponds to the IT project proposal.
- **Column P, BRM** – BRM refers to the Business Reference Model associated with the IT Project.
 Identify the BRM Element Name and Description that best describes the business operation that the IT Project supports. BRM information is listed in the Supplemental Reference Material previously discussed. Select the BRM Element ID Number from the drop-down menu within the cell.

- **Column Q, TRM Primary** – TRM refers to the Technical Reference Model associated with the IT Project.

Identify the TRM Element Name and Description that best describes the technology that the IT Project supports. TRM information is listed in the Supplemental Reference Material previously discussed. Select the TRM Element ID Number from the drop-down menu within the cell.

- **Columns R and S, TRM 1 and 2 Additional** – If there are one or more additional TRM Elements that the IT Project utilizes, select the TRM Element ID Number from the drop-down menu within the cell(s).

- **Column T, SRM Primary** – SRM refers to the Service Reference Model associated with the IT Project.

Identify the SRM Element Name and Description that best describes the technology that the IT Project supports. SRM information is listed in the Supplemental Reference Material previously discussed. Select the SRM Element ID Number from the drop-down menu within the cell.

- **Columns U and V, SRM 1 and 2 Additional** – If there are one or more additional SRM Elements that the IT Project utilizes, select the SRM Element ID Number from the drop-down menu within the cell(s).

C. Supplemental Components

- Agency Executive Approval Transmittal** – Enter the Agency Name and complete the signature block information for the Agency's Information Officer and Agency Secretary in the appropriate areas of the transmittal. The transmittal must be signed prior to submission to the OCIO.
- Department Executive Approval Transmittal** – Enter the Department Name and complete the signature block information for the Department's Chief Information Officer, Information Security Officer, Budget Officer, and Department Director in the appropriate areas of the transmittal. The transmittal must be signed prior to submission to the OCIO.

V. Submission to the OCIO

Agencies, Constitutional Offices, and non-affiliated departments should submit completed packages to the OCIO no later than the third Monday in October. Submission of the Individual Plans shall follow the same process used to submit plans in prior years. Specific instructions regarding submission via SecureTransport are located in SIMM Section 57. The OCIO will forward the October 2010 plans to Finance.

The Individual Plans will consist of multiple files. Secure Transport does not allow the uploading of folders. Therefore the file names are very important. So at a minimum the agency organization code should be contained within the filename.